Application No. 10/620,749
Request for Reconsideration dated 17 January 2005
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Exhibit 3

Excerpts from USPTO ABX Version 1.2 User's Guide

EFS-ABX Specification - Structure and Authoring Rules

EFS-ABX
User's Guide

Your guide to using USPTO's Electronic Filing System Application Body XML Authoring Tool (EFS-ABX)

Version 1.2
Published November 2004

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1.0 Introduction

This booklet provides an overview of the Electronic Filing System Application Body XML Authoring Tool (EFS-ABX). EFS-ABX is a document processing tool that USPTO applicants and registered practitioners may use to create, edit, format, save and display their patent applications. Applications created by EFS-ABX are saved in three formats: DOC; XML; and PDF formats using the software and commands contained in a template in Microsoft® Word. EFS-ABX is implemented via a template within Microsoft® Word, therefore, knowledge of Microsoft® Word will improve the ease of use of this product.

1.1 What Is EFS-ABX?

EFS-ABX is an authoring tool for creating a patent application specification that is easier to use than its predecessor and produces a document that may be electronically transmitted to the USPTO for the benefits of electronic filing. EFS-ABX is implemented as a Microsoft® Word template (ABX.dot) that runs in Microsoft® Word. The tool creates a Microsoft® Word document (.doc file), that becomes input to the final, transmittable document using the function **Export Pdf and Xml** provided by the tool. The author creates, from the DOC file, two patent application specifications, each in XML format, one according to Annex F of the Patent Cooperation Treaty in a style defined by the application-body document type definition (application-body.dtd), and another as an XML wrapper for the application as contained in PDF format, both files being versions of the application specification parts. These files are packaged into a single file called the ABX package that has the file extension *.abx. One file contains the full text of the specification with full XML mark-up. This is referred to as the application-body XML. The second is a small XML document that references PDF files associated with the description, claims, abstract, and any drawings. This is referred to as the pdf-wrap XML. These XML files are submitted to the USPTO in the ABX package over the Internet using the Electronic Filing System (EFS). The fully marked-up document will be used by USPTO to conduct security reviews for new utility and provisional applications and for pre-grant publication, while the PDF documents will be converted to images in the USPTO Image File Wrapper. Images created from the PDF documents will become the legal record at USPTO in the Image File Wrapper system for new utility and provisional applications.

Note: The PDF files are the source documents for the official records in the Image File Wrapper system (IFW) of the description, claims, abstract and drawings. It is important to review the PDF files to verify that they contain the same information as was entered into the Word source application file. The Word source document file is never transmitted to the USPTO, and cannot be relied upon as evidence of the contents of the application as filed.

The XML and TIFF files are the source documents for the bibliographic information used in the USPTO records for the 18-Month Publication (PG-Pub) document and for other USPTO records as submitted.

EFS-ABX is a major component of the USPTO's patent e-filing system. EFS-ABX creates application-body XML files for new utility, provisional, and pre-grant publication submissions. In addition to electronic filing, EFS-ABX can also be used to print applications, which may be submitted to the USPTO by mail or freight. EFS-ABX helps the user to develop certain patent applications completely in Microsoft® Word. All text and graphics are created in Microsoft® Word and saved as a Microsoft® Word document (*.doc) file. When the user has finished creating the specification, it may be converted to PCT Annex F compliant application-body XML files with referenced image files in TIFF format and referenced sections in PDF format. The result of the **Export Pdf and Xml** function generates an ABX package containing the following files:

Two application-body XML files – the converted Microsoft® Word document that was created is converted to one fully marked-up XML file and a second small XML PDF wrapper file,

Application-body.dtd files (.ent, .mod, .dtd),

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4.0 Appendix

4.1 Behind the Scenes
EFS-ABX Specification – Structure and Authoring Rules

4.1.1 Application Body Mandatory Sections

An EFS-ABX specification must contain four (mandatory) application body sections in the following order:
INVENTION TITLE
DESCRIPTION
CLAIMS
ABSTRACT

An EFS-ABX specification may contain a fifth (optional) application body section:

DRAWINGS

Scope of an application body section: Each application body section begins with an application body section label and ends at the label of the next application body section, or (in the case of ABSTRACT or DRAWINGS Sections) – at the end of the document. When the user launches EFS-ABX, a pre-structured specification is opened as a Microsoft® Word document. The document contains EFS-ABX screen labels for the following mandatory sections: Invention Title, Description, Claims, and Abstract. The cursor is positioned at the place for typing the invention title.

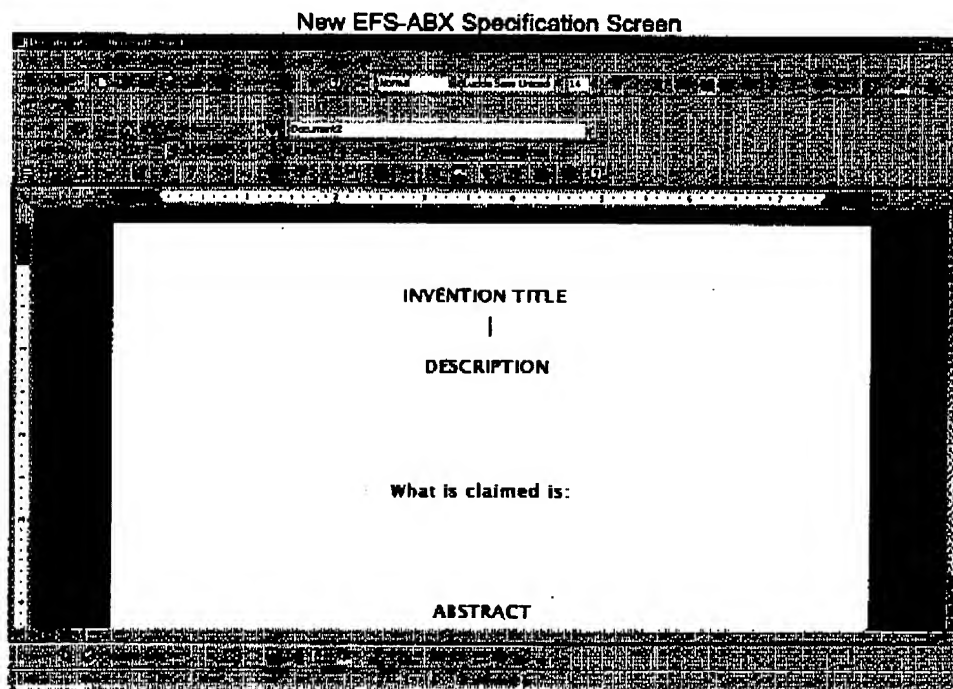New EFS-ABX Specification Screen

Figure 69

The labels are shown in the picture above – they mark the beginning of the sections of the EFS-ABX specification.

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4.1.2 EFS-ABX Screen Labels

EFS-ABX provides screen labels that serve as visual indicators of the following application body elements:

Invention Title (XML element <invention-title>),

Description (XML element <description >),

What is claimed is (XML element <claims>),

Abstract (XML element),

Drawings (XML element <drawings >),

Term Definition List (XML element <dl>),

Heading (XML element <heading>),.

EFS-ABX displays a screen label as a separate Microsoft® Word paragraph above the application body object that is labeled allowing insertion of empty Microsoft® Word paragraphs between the screen label and the labeled application body object. EFS-ABX inserts screen labels ("Insert Label..." menu functions) right above the selected application body object.

The following sections of this document provide information about the structure of an EFS-ABX specification sections.

4.1.3 EFS-ABX Styles

EFS-ABX supports all document styles that are native to Microsoft® Word. If a document is imported into EFS-ABX and contains a unique style, the user will receive an error message that the style is not supported by EFS-ABX. To allow the document to be properly processed, the user should access the Format→ Style function in Microsoft® Word and delete the unsupported style.

4.1.4 Section INVENTION TITLE

Text Formatting: Bold, *Italic,* Subscript, Superscript

Must contain: Only one Microsoft® Word paragraph after the INVENTION TITLE label.

4.1.5 Section DESCRIPTION

Can contain: Headings and application body Paragraphs.

Must contain: At least one application body paragraph. EFS-ABX generates an XML instance of application-body.dtd only if the specification contains at least one non-empty application body paragraph in the Description section (element <description>).

Scope: Contains all application body objects except invention title and claims.

4.1.5.1 Heading

Text Formatting: Bold, *Italic,* Subscript, Superscript

Must contain: Only one Microsoft® Word paragraph after the Heading screen label.
Must be followed by at least one application body paragraph. The Heading screen label will not be displayed in the final XML and PDF documents. It is provided as a navigational aid to the user.

4.1.5.2 Application Body Paragraph

Text Formatting: Bold, *Italic,* $_{Subscript,}$ ^{Superscript}

Scope of an application body paragraph: Contains all application body objects till the next application body paragraph or the next Heading or CLAIMS Section screen label.

An application body paragraph must contain: At least one Microsoft® Word paragraph or one of the application body objects listed below.

An application body paragraph (element <p>) can contain the following objects:

Image (<img>),

Ordered List (<ol>),

Table (<tables>),

Term Definition List (<dl>),

Unordered List (<ul>).

Application Body Paragraph Numbering: application body paragraphs are numbered. Each Microsoft® Word paragraph formatted as an application body paragraph has a number in following format: **[Para N]**, where **N** is the number of the application body paragraph.

EFS-ABX provides automatic application body paragraph numbering.

4.1.5.3 Images

Application body paragraph can contain an image object of the type:
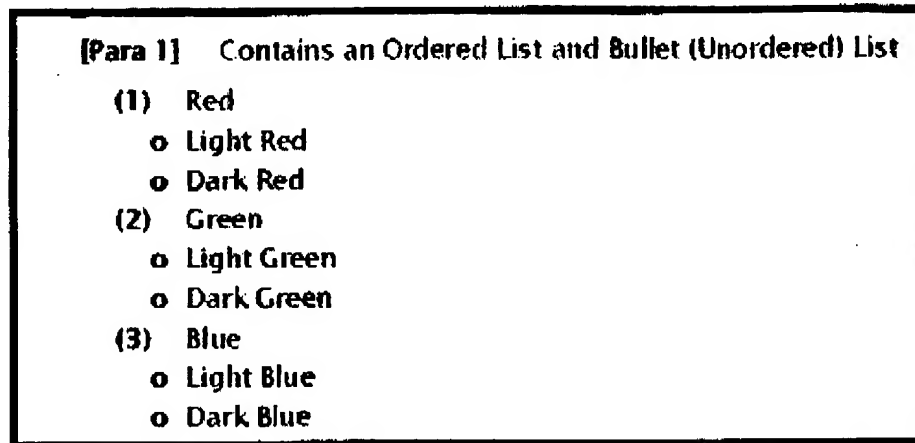
Image (XML element <img>).

Important Notice: All images will be converted to true black and white images upon insertion into EFS-ABX. Color images are not acceptable for electronic filing at this time and will be converted to black and white by EFS-ABX.

4.1.5.4 Lists

Application body paragraph can contain the following types of lists:

Bullet List (XML element <ul>),

Numbered List (XML element <ol>).

> [Para 1]   Contains an Ordered List and Bullet (Unordered) List
>
>   (1)   Red
>   o Light Red
>   o Dark Red
>   (2)   Green
>   o Light Green
>   o Dark Green
>   (3)   Blue
>   o Light Blue
>   o Dark Blue

Figure 70

A numbered list may contain a bullet list as a list element, but a bullet list can only contain list items and not other list types.

4.1.5.5 Microsoft® Word Table

Table object in application body paragraph is represented as a regular MS Word table.

Table can contain only formatted text and special symbols.

EFS-ABX allows cells of a regular MS Word table (element <tables>) to contain only formatted text (<b>, <i>, <sup>, <sub>) and special symbols from Lucida Sans Unicode font.
EFS-ABX exports regular MS Word tables (without merged cells) into XML providing values for the following attributes: attributes Id and num of element <tables>, attribute cols of element <tgroup>, and attribute align of element <entry>.

Table cannot contain merged cells. EFS-ABX generates an error message if the user validates or exports (functions "Validate Application" and "Export Pdf and Xml") an application body specification containing a MS Word table with merged cells.

4.1.5.6 Term Definition List

Term Definition List is represented on the authoring screen as a MS Word Table with two columns: "Term" (XML element <dt>) and "Definition" (XML element <dd>).

Definition List 1	
Term	*Definition*
Adhesive	Any substance that is used to bond two surfaces together.

Figure 71

4.1.6 Section CLAIMS

Section CLAIMS can contain only Claim objects (XML element <claim>).

Section CLAIMS must contain at least one non-empty claim. EFS-ABX generates an XML instance of application-body.dtd only if the specification contains at least one non-empty application body Claim in the Claims section (element <claims>).

4.1.6.1 Claim

Text Formatting: Bold, *Italic,* Subscript, Superscript

Scope: Contains all application body objects till the next Claim or ABSTRACT Section label.

Must contain: At least one Microsoft® Word paragraph or one of the application body objects listed below. Each claim must end in a period.
Application body Claim (<claim><claim-text>) can contain only the following elements:

Image (<img>), Table (<tables>).

Claim Numbering: Claims are numbered. Each Word paragraph formatted as a claim has a number in following format: **[Claim N]**, where **N** is the number of the claim.
EFS-ABX provides automatic application body claim numbering.

4.1.6.2 Images

Application body paragraph can contain an image object of the type:

Image (XML element <img>),

Important Notice: All images must be converted by the user to true black and white images prior to export to XML or PDF. Color images are not acceptable for electronic filing at this time.

4.1.6.3 Microsoft® Word Table

Table object in application body paragraph is represented as a regular MS Word table.

Table can contain only formatted text and special symbols.

EFS-ABX allows cells of a regular MS Word table (element <tables>) to contain only formatted text (<b>, <i>, <sup>, <sub>) and special symbols from Lucida Sans Unicode font.

EFS-ABX exports regular MS Word tables (without merged cells) into XML providing values for the following attributes: attributes id and num of element <tables>, attribute cols of element <tgroup>, and attribute align of element <entry>.

Table cannot contain merged cells. EFS-ABX generates an error message if the user exports (functions "Validate Application" and "Export Pdf and Xml") an application body specification containing a Microsoft® Word table with merged cells.

4.1.7 Section ABSTRACT

Section ABSTRACT must contain only one application body paragraph (after the ABSTRACT label).
Scope: Contains all objects until the End of the document or the DRAWINGS Section label (if section is present).

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EFS-ABX allows exporting in XML of a specification containing one and only one non-empty application body paragraph (element <p>) in the Abstract section (element).

4.1.8 Section DRAWINGS

This section of the ABX specification is optional.

Must contain: only Figures (one or more).

Scope: Contains all Figure objects till the end of the document.
Figure is an image (picture or Word object). No text is permitted in this section of the EFS-ABX document. Any text required to describe the drawing should be a part of the drawing itself.